

SES Performance Management System

Executive Performance Plan

7

Part 1. Consultation. I have reviewed this plan and have been consulted on its development.

Executive's Name (Last, First, MI): Jones-Peeler, Meshell

Appraisal Pd. 06/10/18 - 09/30/18

Executive's Signature: *Meshell Jones Peeler*

Date: *July 12, 2018*

Title: Deputy Controller

Organization: Office of the Controller, OCFO

Rating Official's Name (Last, First, MI): Conklin, Jeanne M

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature: *Jeanne Conklin*

Date: *7/12/18*

Part 2. Progress Review

Executive's Signature: *Meshell Jones Peeler*

Date: *Oct. 31, 2018*

Rating Official's Signature: *Jeanne Conklin*

Date: *Oct 31, 2018*

Reviewing Official's Signature (Optional):

Date:

Part 3. Summary Rating

Initial Summary Rating

(b) (6)

Rating Official's Name (Last, First, MI): Conklin, Jeanne M.

Rating Official's Signature: *Jeanne Conklin*

Date: *10/30/18*

Executive's Signature: *Meshell Jones Peeler*

Date: *10/31/18*

Reviewing Official's Signature (Optional):

Date:

Higher Level Review (if applicable)

☐ I request a higher-level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5
2. Leading People			20			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			50			Any CE rated Level 1 = Level 1
Total			100%			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements: (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

Critical Element Rating – Leading People

Executive Name and ID: Meshell Jones-Peeler Appraisal Period: 06/10/18 - 09/30/18

Critical Element 3. Business Acumen

(Minimum weight 5%)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

Critical Element Rating – Business Acumen

Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

(b) (6)

Critical Element Rating – Building Coalitions

Meshell Jones-Peeler Appraisal Period: 06/10/18 - 09/30/18

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1:

Provide effective leadership in FY 2018 for establishing, monitoring and improving financial administrative controls. Lead the Agency A-123 effort specific to internal controls engaging in Enterprise Risk Management by continued implementation of OMB's revised A-123 guidance within required timelines. Perform A-123 reviews for OC identifying key controls, testing, documenting, and correcting observations where appropriate by the end of the fiscal year. Continue to perform Quality Assurance reviews in all OC operating units. Implement and stabilize new Time and Attendance

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

Performance Requirement 2:

Establish, monitor on a monthly basis, and improve the agency's financial/administrative controls by issuing three (3) new financial management policies/policy revisions. Oversee the policy verification process, to ensure three (3) agency financial policies are implemented, evaluated for effectiveness, revised as appropriate, and 100% of corrective actions are monitored. Support the enterprise adoption of shared services in alignment with Goal 3, Objective 3.5. Assure the OC's customer's needs by providing and delivering professional, helpful, high quality service and assistance before, during, and after the customer's requirements are met.

Performance Requirement 3:

Provide effective fiscal oversight and implementation of the Working Capital Fund (WCF) by engaging agency partners, increasing operational and programmatic efficiencies, improving customer service, supporting WCF Board of Directors by facilitating and hosting three executive-level meetings a year, and ensuring that annual financial results break even or within 4%.

Performance Requirement 4:

Position the agency to make an unmodified assurance by the established deadlines, by promoting effective internal controls over financial information. Strengthen the agency's internal control program by working with NPMs/regions to develop A-123 review plans by June 30, perform required testing of the controls and establishing effective corrective actions to resolve control weaknesses by September 30. Provide technical guidance and resources to assist agency officials in conducting internal control self-assessments.

Performance Requirement 5:

Strengthen agency resource stewardship. Engage the agency in the review and standardization of the agency's accounting string. Implement Accounting standardization with the rollover of the accounting system to 2019. Partner with OARM and OCFO sister offices as the DATA Act Lead, seeking constant improvement in the DATA Act quarterly submission process.

Performance Requirement 6:

Serve as OCFO lead on the Agency's Special Account Senior Management Committee. Partner with OSWER, OECA and OCFO Offices to promote transparency of financial management activities twice a year. Oversee EPA's implementation of the Improper Payments Elimination, Recovery and Improvement Act of 2012 by issuing guidance by September 30 and leading OCFO-wide initiatives.

Performance Requirement 7:

Manage the development and integration of the financial management narratives with systems project schedules to foster and promote accurate and timely financial reporting. Serve as the OC's lead for working with OTS on implementation/communication of financial management IT solutions for the agency.

Performance Requirement 8:

Achieve human capital objectives by: supporting OCFO's organizational vision/goals/strategic direction to reflect organizational changes of the upcoming reorg, including aligning performance agreements with organizational vision, goals and strategic direction and associated measures. Developing leadership capacity by mentoring/coaching OC's leadership team; implementing succession/recruitment planning to ensure long-term workforce stability; employee engagement; and promoting professional development and empowerment across OC.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

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Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

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Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

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Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

Critical Element Rating – Results Driven

(b) (6)

Part 6: Summary Rating Narrative (Mandatory) Supervisor

must provide comment for all ratings.

Meshell Jones-Peeler

(b) (6)



Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Results Driven (50)

(b) (6)



Leading People (20)

(b) (6)



Leading Change (10)

(b) (6)



Business Acumen (10)

(b) (6)



Building Coalitions (10)

(b) (6)



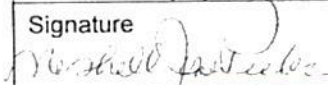

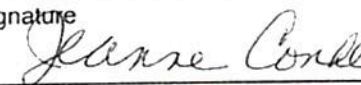
Executive Development Plan

Employee Name (Last, First, MI) Jones-Peeler, Meshell.	Performance Period	
	From: 06/10/2018	To: 12/31/2018

Long Term Goal:	To become recognized as an executive level leader in Federal financial management.	Short Term Goal:	To be a recognized executive level leader within EPA on financial management and audit issues.
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Career Goals & Development Objectives	Specific Development Activities
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Goals/Objectives	Activity	Time Frame
(b) (5)		2018/2019
		2018/2019
		2018/2019
		2018/2019
		2018/2019

Discussion and/or approval of the Executive Development Plan.	Employee	Supervisor	Approving Official
	Signature  Date July 18, 2018	Signature  Date 7/18/18	Signature  Date 7/18/18

SES Performance Management System Executive Performance Agreement



Part 1. Consultation. I have reviewed this plan and have been consulted on its development.

Executive's Name (Last, First, MI): O'Brien Kathleen S.
 Executive's Signature: *Kathleen S. O'Brien*
 Title: Director, Office of Planning, Analysis, and Accountability
 Rating Official's Name (Last, First, MI): Bloom David A.
 Rating Official's Signature: *David A. Bloom*

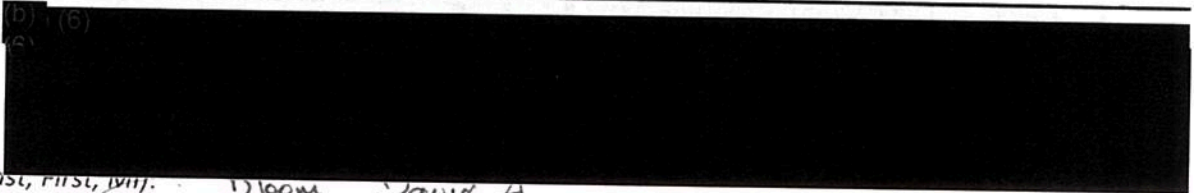
Appraisal Pd. 10/01/17- 9/30/18
 Date: 11/30/2017
 Organization: OCFO
 CA ☐ NC ☐ LT/LE ☐
 Date: 11/30/2017

Part 2. Progress Review

Executive's Signature: *Kathleen S. O'Brien*
 Rating Official's Signature: *David A. Bloom*
 Reviewing Official's Signature (Optional):

Date: 5/4/2018
 Date: 5/4/2018
 Date:

Part 3. Summary Rating



Initial Summary Rating

Rating Official's Name (Last, First, MI): Bloom David A.
 Rating Official's Signature: *David A. Bloom*
 Executive's Signature: *Kathleen S. O'Brien*
 Reviewing Official's Signature (Optional):

Date: 11/05/2018
 Date: 11/5/2018
 Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:
 Higher Level Review Completed ☐
 Higher Level Reviewer Signature:

Date:
 Date:

Performance Review Board Recommendation

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5
2. Leading People			25			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			45			Any CE rated Level 1 = Level 1
Total			100%			

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change**(Minimum weight 5%)**

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Leading Change**Critical Element 2. Leading People****(Minimum weight 5%)**

(b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

(b) (6)

Critical Element Rating – Leading People

Critical Element 3. Business Acumen

(Minimum weight 5%)

(b) (6)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Business Acumen**Critical Element 4. Building Coalitions**

(Minimum weight 5%)

(b) (6)

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Building Coalitions

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

1) Performance Requirement 1: Manage agency efforts to execute EPA enterprise risk management program (GPRMA/A-11/A-123) consistent with maturity model, building on progress made in FY 2016 and FY 2017, to strengthen risk-based decision making. Routinely seek feedback to identify customer needs and expectations in order to continuously improve delivery of high quality service and assistance. Participate on government-wide ERM working group. Manage senior leader ranking of 2017 enterprise risks, develop risk profile, and monitor progress to mitigate risks as part of regular agency reviews of action plans, using priority project plans as relevant (Nov-Dec 2017). Play advisory role to OC on development of internal controls aligned with risk assessments.

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

2) Develop recommendations for FY 2018 strategic reviews and risk assessments to align with COO and Administrator reviews (Jan 2018). Consider OMB requirements (e.g., Program Management Improvement Accountability Act), as appropriate.

3) Issue agency guidance on FY 2018 strategic reviews and internal control reviews, with OC, which incorporates 2018 risk assessments (Feb 2018). Provide technical support to agency risk liaisons to strengthen NPM/regional leader engagement, refining 2017 risk assessments of FY 2018-2022 Strategic Plan (Mar-Apr 2018).

4) Manage progress to mitigate risks in priority projects or enterprise risk action plans (ongoing). Consider results in COO and Administrator reviews and in FY 2020 budget formulation (spring/summer 2018).

5) Develop/submit to OMB key deliverables (consistent with guidance).

Performance Requirement 2: Finalize and issue FY 2018-2022 EPA Strategic Plan, including FY 2018-2019 Agency Priority Goals, to advance progress towards Administrator's priorities, consistent with GPRMA/A-11 requirements (Feb 2018).

Strategic Alignment: Supports issuance of key GPRMA deliverable—FY 2018-2022 EPA Strategic Plan revision, along with FY 2019 Annual Performance Plan and Budget; OCFO Strategic Plan Goals 1-4.

1) Manage agency review of public comments and OMB initial comments provided in September (Oct-Nov 2017).

2) Support COO/agency development of ambitious strategic measure targets and two year targets for measures designated as FY 2018-2019 Agency Priority Goals for inclusion in final draft Strategic Plan (Nov-Dec 2017).

3) Submit Strategic Plan for final OMB review (Dec 22 2017) and clearance (Jan 2018) for issuance at same time as FY 2019 Budget (Feb 2018).

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Results Driven

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

Performance Requirement 3: Manage agency budget measure performance justifications in FY 2017 Annual Performance Report/FY 2019 Annual Performance Plan and Budget, and FY 2020 budget formulation, GPRMA/A-11 (Oct 2017-spring 2018).

- 1) Issue guidance/manage FY 2017 EOY performance reporting & analysis, following approach developed for FY 2016 APR for final reporting of results under FY 2014-2018 Strategic Plan. Assess customer satisfaction. (Oct 2017-spring 2018).
- 2) Develop FY 2019 Annual Performance Plan of FY 2018/FY 2019 budget measures and targets under FY 2018-2022 Strategic Plan (Feb 2018).
- 3) With OB, issue guidance to develop FY 2019 Annual Performance Plan/CJ (Dec 2017) and FY 2020 budget formulation (spring/summer 2018).

Performance Requirement 4: Manage agency efforts to improve measures and build capability/increase use of evidence in performance reviews with COO/Administrator and to inform planning and budget decisions. Routinely seek feedback to identify customer needs and expectations in order to continuously improve delivery of high quality service and assistance. As Deputy PIO engage government-wide on performance/GPRMA/A-11, support Acting CFO/DCFO, COO, and new PIO.

- 1) Support COO in finalizing strategic, annual, quarterly, and monthly measures; designing/implementing approach to Administrator quarterly report and reviews.
- 2) Provide technical support to NPMs in developing FY 2018-2019 Agency Priority Goal action plans (Jan-Feb 2018), quarterly reporting to OMB in Performance. gov, and focus of Administrator's reviews (Feb 2018/ ongoing).
- 3) As ECOS/EPA Partnership and Performance Workgroup co-chair, engage with ECOS Planning Committee to support rollout/expansion of new ECOSResults website of state measure results, aligning with EPA measure development/reporting as appropriate.
- 4) Provide technical support and convene agency community of practice to build agency capacity for using evidence in agency planning and budgeting.
- 5) Support OPAA contributions to OCFO monthly business reviews (ongoing).

Performance Requirement 5:

Lead collaborative effort with NPMs, OCIR, OGD, agency planners, the State-Tribal-EPA NPM Guidances/NEPPS Workgroup and agency leadership to reach agreement on approach for NPM guidances and negotiation of NPM/regional commitment measures (winter 2018). Based on agreement reached, manage issuance of OCFO's guidance to communicate agency approach, timeline and deliverables and follow up (spring/summer 2018).

Performance Requirement 6: Deploy the *New Performance System* as part of Budget Formulation System, working with OB and contractor, to support development of FY 2017 Annual Performance Report and FY 2019 Annual Performance Plan/*Congressional Justification* (Jan 2018). Engage Technical User Group (TUG) to complete user assessment testing. Design and deliver onsite and webinar training in regions/headquarters (Oct-Dec 2017). Develop Performance Dashboard as part of new Executive Dashboard, relying on Business Objects tools/Lumira, to build data visualization capability that supports agency analyses of monthly/quarterly performance results (fall 2017-spring 2018). Provide leadership in supporting the OCFO Strategic Plan Goal 1 champion (ongoing), including technical assistance to agency customers to identify financial/mixed financial data visualization reporting needs, which supports OCFO's shared services strategy; and, advice to WCF Board inform priorities and ways to improve operational efficiency and reporting capabilities.

Performance Requirement 7: Achieve human capital objectives consistent with OCFO Strategic Plan—vision, mission, values, goals, activities, and associated measures. Carry out workforce/succession planning and recruitment plans to support long-term workforce stability, filling management positions and new WCF data analyst positions. Mentor/coach OPAA's managers and staff to support their near-term and

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; FY 2017 APR/FY 2019 Annual Performance Plan and Budget; FY 2020 budget formulation OMB Submission; OCFO Strategic Plan Goals 1 and 4.

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; FY 2018 budget execution; FY 2019-2020 budget formulation; OCFO Strategic Plan Goals 1-4.

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; FY 2018 budget execution; FY 2019-2020 budget formulation; OCFO Strategic Plan Goal 4.

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; FY 2019-2020 budget formulation; OCFO Strategic Plan Goals 1-4.

Strategic Alignment: Supports FY 2018-2022 EPA Strategic Plan; and OCFO Strategic Plan Goals 2 and 4.

longer-term training and professional development objectives, and strengthen employee engagement and empowerment (ongoing).

Performance Requirement 8:

Strategic Alignment:

Performance Requirement 9:

Strategic Alignment:

Performance Requirement 10:

Strategic Alignment:

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

See Attached

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

CE5 Results Driven: (b) (6)

(b) (6)



b) (6)

CE1 Leading Change:

(b) (6)

(b) (6)

Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)

O'Brien Kathleen S.

Performance Period

From: 1/01/2018

To: 12/31/2019

Long Term Goal:

Develop partnerships in & outside EPA to build capabilities/streamline practices to advance mission

Short Term Goal:

Develop leadership and human resource management skills to improve employee engagement and quality of work life.

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

2018-2019

2018-2019

2018-2019

2018-2019

2018-2019

Discussion and/or approval of the Executive Development Plan.

Employee

Signature

Date

Supervisor

Signature

Date

11/30/2017

Approving Official

Signature

Date

Kathy O'Brien

Leading Change

(b) (6)

A large rectangular area of the document is completely blacked out, indicating redacted information.

Business Acumen

(b) (6)

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Building Coalitions

(b) (6)

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Results Driven

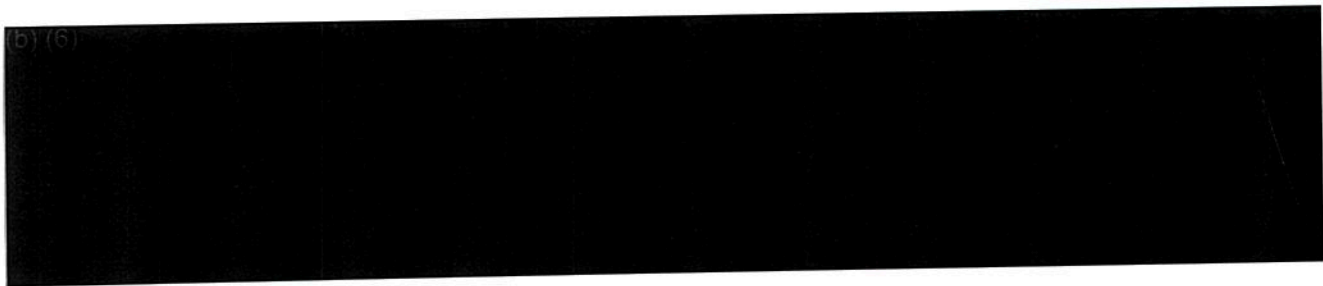
(b) (6)

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Overall Results

(b) (6)

A large rectangular area of the document is completely blacked out, indicating redacted information.



**SES Performance Management System
Executive Performance Plan**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Conklin, Jeanne M.

Executive's Signature: *Jeanne Conklin*

Title: Controller

Rating Official's Name (Last, First, MI): *David Bloom*

Rating Official's Signature: *[Signature]*

Appraisal Pd. 10/01/17 - 09/30/18

Date: *11/28/17*

Organization: Office of the
Controller, OCFO

CA ☐ NC ☐ LT/LE ☐

Date: *11/30/2017*

Part 2. Progress Review

Executive's Signature: *Jeanne Conklin*

Rating Official's Signature: *[Signature]*

Reviewing Official's Signature (Optional):

Date: *5/1/2018*

Date: *5/1/2018*

Date:

Part 3. Summary Rating

(b) (6)

Rating Official's Name (Last, First, MI): *Bloom David A.*

Rating Official's Signature: *[Signature]*

Executive's Signature: *Jeanne Conklin*

Reviewing Official's Signature (Optional):

Date: *11/5/2018*

Date: *11/5/2018*

Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		(b) (6)	(b) (6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People						
3. Business Acumen						
4. Building Coalitions						
5. Results Driven						
Total			100%			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
 Level 4 = 4 points
 Level 3 = 3 points
 Level 2 = 2 points
 Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

Critical Element Rating – Leading People

(b) (6)

Executive Name and ID: Jeanne Conklin

Appraisal Period: 10/01/17 - 09/30/18

Critical Element 3. Business Acumen

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

Critical Element Rating – Business Acumen

(b) (6)

Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and

externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Building Coalitions

(b) (6)

Executive Name and ID: Jeanne Conklin

Appraisal Period: 10/01/17 - 09/30/18

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1:

Provide effective leadership in FY 2018 for establishing, monitoring and improving financial administrative controls. Lead the Agency A-123 effort specific to internal controls engaging in Enterprise Risk Management by continued implementation of OMB's revised A-123 guidance within required timelines. Perform A-123 reviews for OC identifying key controls, testing, documenting, and correcting observations where appropriate by the end of the fiscal year. Continue to perform Quality Assurance reviews in all OC operating units. Implement and stabilize new Time and Attendance Work Codes, Payroll Cost Allocation and travel controls in FY 2018.

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

Performance Requirement 2:

Establish, monitor on a monthly basis, and improve the agency's financial/administrative controls by issuing three (3) new financial management policies/policy revisions. Oversee the policy verification process, to ensure three (3)

Strategic Alignment:

Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.

agency financial policies are implemented, evaluated for effectiveness, revised as appropriate, and 100% of corrective actions are monitored. Support the enterprise adoption of shared services in alignment with Goal 3, Objective 3.5. Assure the OC's customer's needs by providing and delivering professional, helpful, high quality service and assistance before, during, and after the customer's requirements are met.	
<p>Performance Requirement 3: Provide effective fiscal oversight and implementation of the Working Capital Fund (WCF) by engaging agency partners, increasing operational and programmatic efficiencies, improving customer service, supporting WCF Board of Directors by facilitating and hosting three executive-level meetings a year, and ensuring that annual financial results break even or within 4%.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic.</p>
<p>Performance Requirement 4: Position the agency to make an unmodified assurance by the established deadlines, by promoting effective internal controls over financial information. Strengthen the agency's internal control program by working with NPMS/regions to develop A-123 review plans by June 30, perform required testing of the controls and establishing effective corrective actions to resolve control weaknesses by September 30. Provide technical guidance and resources by May 30, to assist agency officials in conducting internal control self-assessments.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.</p>
<p>Performance Requirement 5: Strengthen agency resource stewardship. Engage the agency in the review and standardization of the agency's accounting string. Implement Accounting standardization with the rollover of the accounting system to 2019. Partner with OARM and OCFO sister offices as the DATA Act Lead, seeking constant improvement in the DATA Act quarterly submission process.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.</p>
<p>Performance Requirement 6: Serve as OCFO lead on the Agency's Special Account Senior Management Committee. Partner with OSWER, OECA and OCFO Offices to promote transparency of financial management activities twice a year. Oversee EPA's implementation of the Improper Payments Elimination, Recovery and Improvement Act of 2012 by issuing guidance by September 30 and leading OCFO-wide initiatives.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.</p>
<p>Performance Requirement 7: Manage EPA's Superfund accounts/investments in accordance with CERCLA/Treasury's Bureau of Public Debt guidance by: overseeing >\$5B in Trust Funds; and the LUST Trust of approximately \$1B. Manage the calculation of the agency's indirect cost rates and annual allocation, making additional funds available for recovery and reimbursement by September 30.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.</p>
<p>Performance Requirement 8: Achieve human capital objectives by: supporting OCFO's organizational vision/goals/strategic direction to reflect organizational changes of the upcoming reorg, including aligning performance agreements with organizational vision, goals and strategic direction and associated measures. Developing leadership capacity by mentoring/coaching OC's leadership team; implementing succession/recruitment planning to ensure long-term workforce stability; employee engagement; and promoting professional development and empowerment across OC.</p>	<p>Strategic Alignment: Supports the Administrator's themes, goals of the 2018-2022EPA Strategic Plan.</p>
<p>Rating Official Narrative: <i>(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)</i></p>	

See Attached

(b) (6)

Executive Name and ID:

Appraisal Period:

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

See Attached

Executive Name and ID:

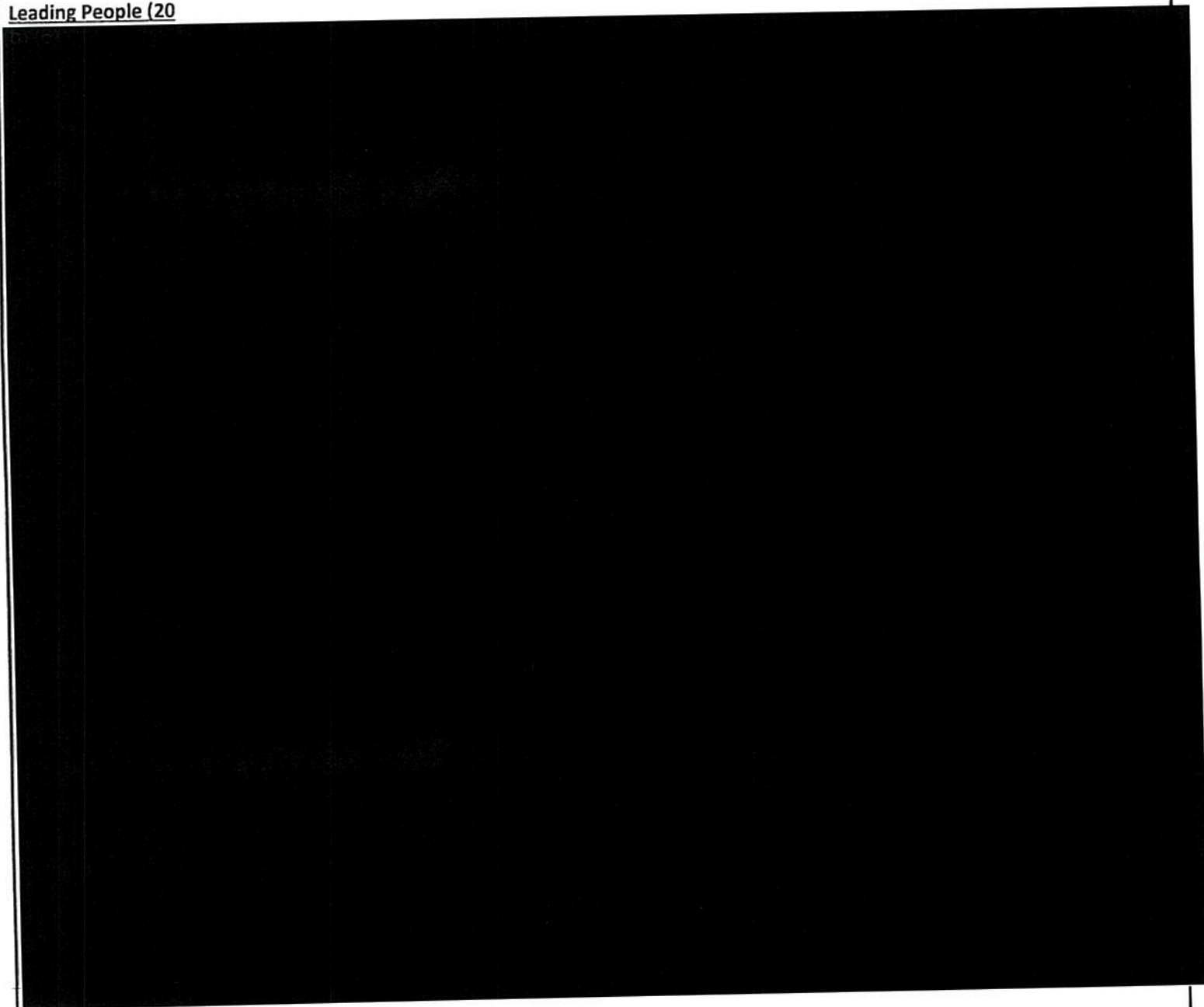
Rating Period: 10/01/17 – 9/30/18

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Results Driven (50)



Leading People (20



Executive Development Plan

Employee Name (Last, First, MI)

Conklin, Jeanne M.

Performance Period

From: 01/01/2018

To: 12/31/2018

Long Term Goal:

To become recognized as an executive level leader in Federal financial management.

Short Term Goal:

To be a recognized executive level leader within EPA on financial management and audit issues.

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

(b) (6)

2018/2019

2018/2019

2018/2019

2018/2019

2018/2019

Discussion and/or approval of the Executive Development Plan.

Employee

Signature

Jeanne Conklin

Date

11/28/17

Supervisor

Signature

[Signature]

Date

11/30/2017

Approving Official

Signature

Date

Jeanne Conklin

Leading People

(b) (6)



(b) (6)



(b) (6)



SES Performance Management System
Executive Performance Plan



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

**SES Performance Management System
Executive Performance Plan**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Bloom, David A.

Appraisal Pd. 10/1/17 – 9/30/18

Executive's Signature:

Date: 11/30/2017

Title: Deputy Chief Financial Officer

Organization: OCFO

Rating Official's Name (Last, First, MI): Flynn, Mike

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature:

Date: 11/30/2017

Part 2. Progress Review

Executive's Signature:

Date: 5/3/2018

Rating Official's Signature:

Date: 5/3/2018

Reviewing Official's Signature (Optional):

Date:

Part 3. Summary Rating

Initial Summary Rating

Rating Official's Name (Last, First, MI): Greaves, Holly W

Rating Official's Signature:

Date: 11/8/18

Executive's Signature:

Date: 11/8/2018

Reviewing Official's Signature (Optional):

Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5
2. Leading People			25			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			45			Any CE rated Level 1 = Level 1
Total			100%			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
 Level 4 = 4 points
 Level 3 = 3 points
 Level 2 = 2 points
 Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

Critical Element Rating – Leading People

(b) (6)

Executive Name and ID: David Bloom

Appraisal Period: 10/1/17 – 09/30/18

Critical Element 3. Business Acumen

(Minimum weight 5%) (b) (6)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

Critical Element Rating – Business Acumen

(b) (6)

Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Building Coalitions

(b) (6)

Executive Name and ID: David Bloom

Appraisal Period: 10/1/17 – 09/30/18

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1:

Direct the formulation and execution of the Agency's budget within established timeframes, and in a manner that reflects the Administrator's priorities, including preparation for OMB and Congressional hearings. Review/improve Agency operations during FY 2018 to apply cost savings to mission critical operations. Work with other senior leaders in headquarters and regional offices in resolving critical issues in a timely manner resulting in

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

more effective operations. Strengthen data analytics and analysis to influence agency decision making.

Performance Requirement 2:

Strengthen resource stewardship internally and across the agency by establishing, monitoring, and improving financial/administrative controls. Direct implementation of activities that promote oversight for agency compliance with guidance for conference spending, unliquidated obligations, and improper payments. Promote activities that lead to obtaining a clean audit opinion. Provide leadership during the fiscal year in the development and execution of the FY 2017 management integrity and audit management program to meet OMB Circular A-123 and A-11 guidance.

Performance Requirement 3:

Provide leadership in advancing the adoption of shared services in alignment with the Agency's strategic Goal 3, Objective 3.5.

Performance Requirement 4:

Provide leadership in strategic planning, performance measurement, and implementation of the enterprise risk management program. Ensure analysis and reporting strengthen performance results and inform decision making.

Performance Requirement 5:

Enhance customer service and improve the strong culture of customer service activities for services (payroll/travel/performance/budget/other). Respond to customer feedback to meet customer needs and refine business processes to include overseeing the implementation of solutions to issues.

Performance Requirement 6:

Carry out proactive OCFO workforce planning, recruitment, and development strategies to strengthen organizational foundation and achieve OCFO Human Capital/diversity goals. Achieve human capital objectives by carrying out organizational vision/goals/strategic direction to reflect OCFO strategic plan. Develop leadership capacity by mentoring/coaching OCFO leadership team; implement succession/recruitment planning to ensure long-term workforce stability; initiate actions to enhance employee engagement and promote professional development and empowerment across OCFO.

Performance Requirement 7:

As applicable, ensure self and others comply with all applicable personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Performance Requirement 8:

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Supports FY 2018-2022 Strategic Plan; FY 2019 and FY 2020 Annual Performance Plans and Budgets; OCFO Strategic Plan Goals 1-4.

Strategic Alignment:

Performance Requirement 9:

Strategic Alignment:

Performance Requirement 10:

Strategic Alignment:

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Results Driven

(b) (6)

Part 6: Summary Rating Narrative *(Mandatory)* Supervisor must provide comment for all ratings.

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Results Driven:

(b) (5)



Executive Development Plan

Employee Name (Last, First, MI)

Bloom, David A

Performance Period

From 10/1/2016

To 9/30/2017

Long Term
Goal:To build on success in leadership
position in EPAShort Term
Goal:Increase effectiveness through expanding
knowledge of environmental programs and
management functions

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

2017 - 2018

2017 - 2018

2017 - 2018

2017 - 2018

2017 - 2018

2017 - 2018

Discussion and/or
approval of the
Executive
Development Plan

Employee

Signature

Date

12/8/2016

Supervisor

Signature

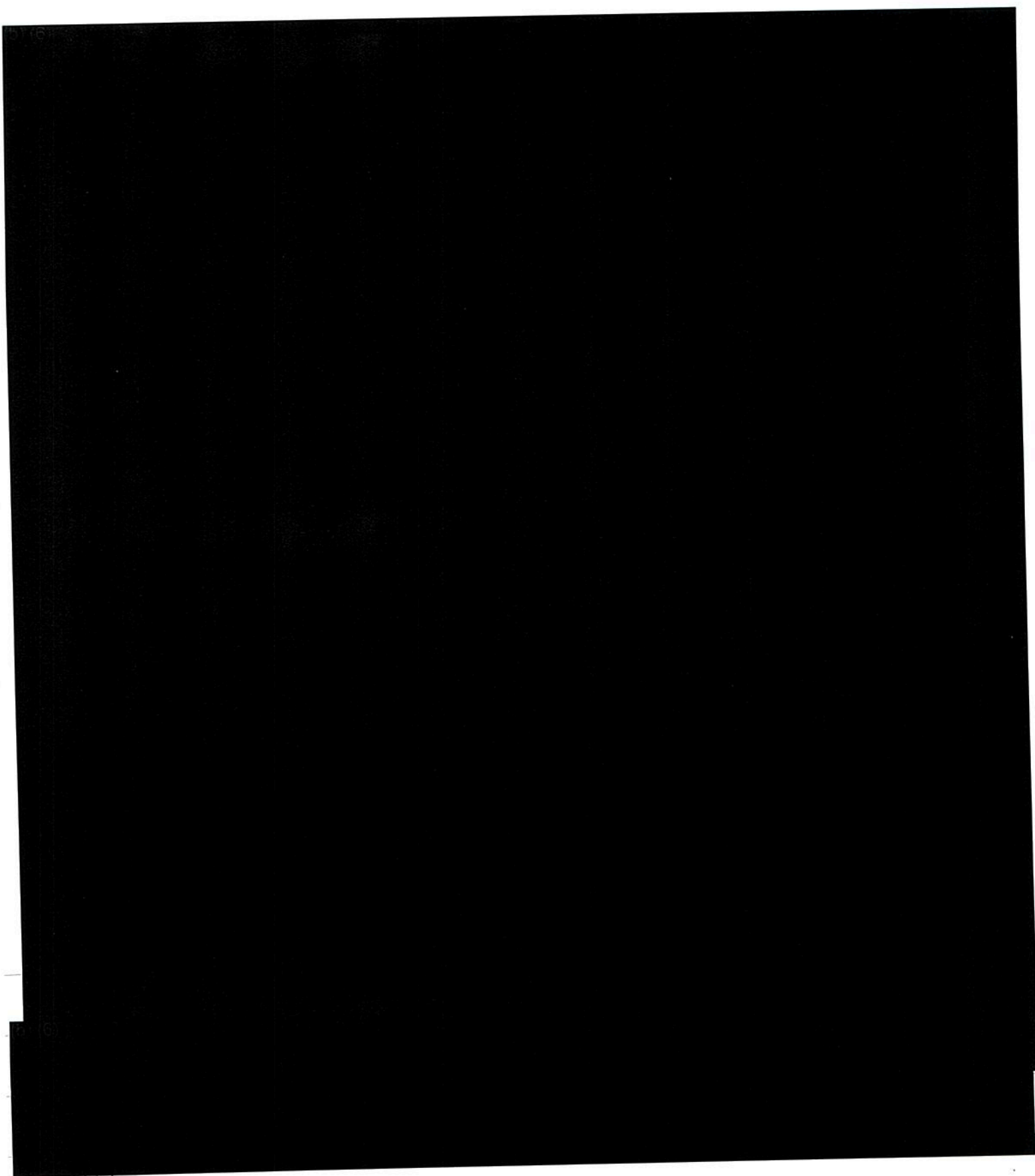
Date

12/8/2016

Approving Official

Signature

Date



**SES Performance Management System
Executive Performance Agreement**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Battin, Andrew, T

Appraisal Pd. 10/1/17 – 9/30/18

Executive's Signature: *Andrew T. Battin*

Date: *11/29/17*

Title: Director, Office of E-Enterprise for the Environment

Organization: OCFO

Rating Official's Name (Last, First, MI): Bloom, David, A

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature: *David A. Bloom*

Date: *11/30/2017*

Part 2. Progress Review

Executive's Signature: *Andrew T. Battin*

Date: *7/23/2018*

Rating Official's Signature: *David A. Bloom*

Date: *7/23/2018*

Reviewing Official's Signature (Optional):

Date:

Part 3. Summary Rating

(b) (6)

Initial Summary Rating

Rating Official's Name (Last, First, MI): Bloom, David, A

Rating Official's Signature: *David A. Bloom*

Date: *11/6/2017*

Executive's Signature: *Andrew T. Battin*

Date: *11/6/2018*

Reviewing Official's Signature (Optional):

Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5
2. Leading People			25			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			45			
Total			100%			Any CE rated Level 1 = Level 1

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points**Level 5 = 5 points****Level 4 = 4 points****Level 3 = 3 points****Level 2 = 2 points****Level 1 = 0 points**

Critical Element 3. Business Acumen**(Minimum weight 5%)**

(b) (6)

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

See Attached

(b) (6)

Critical Element Rating – Business Acumen**Critical Element 4. Building Coalitions****(Minimum weight 5%) Weight 10%**

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

See Attached

(b) (6)

Critical Element Rating – Building Coalitions

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

See Attached

Critical Element Rating – Leading People

(b) (6)

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Performance Requirement 1:**Strategic Alignment:**

Ensure the implementation of Cooperative Federalism through E-Enterprise shared governance:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Support the E-Enterprise Leadership Council in strategic direction setting, and decision making (ongoing). Co-Chair the E-Enterprise Management Board (MB) and ensure progress on the portfolio of existing projects in conjunction with the Interoperability and Operations Team (IOT). Portfolio oversight will be accomplished using the EELC Dashboard and associated measures/metrics.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 2:**Strategic Alignment:**

Continue to build cross Agency and intergovernmental support for and participation in E-Enterprise. Continue development of the Regional E-Enterprise Coordinators (REECs) network by identifying Regional contacts (Q1), conducting joint meetings with associated regional networks (i.e. - RTOCs). Identify equivalent state contacts (Q2)

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Work with Programs and regional offices to identify in collaboration with the states/tribes, regional-state-tribal business process modernization projects or activities currently proposed or underway, that are aligned with the goals of E-Enterprise. Support each Region in identifying streamlining and modernization activities in the PPAs/PPGs or equivalent agreements with state/tribe co-regulators, and identify work load trade-offs as may be appropriate (Q4).

Supports all four goals of OCFO Strategic Plan, 2016-2020

Strengthen tribal participation in E-Enterprise through the development of a Tribal Cooperative Agreement: Solicitation notice (Q1), selection of support provider (Q2), mentoring and transition of support activities to provider (Q3), evaluation of new support mechanism (Q4).

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

(b) (6)

Critical Element Rating – Results Driven

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.**Performance Requirement 3:**

Support the creation and adoption of Shared Services developed under E-Enterprise: Work across-agency and with co-regulators to identify best practices and priorities for shared services (Q1), work collaboratively to identify and focus resources to develop new Shared Services as may be needed (Q2), develop guidance and communications to support adoption of best practices and Shared Services across EPA, and where appropriate for states and tribes (Q3), and evaluate progress and effectiveness of the standard processes and Shared Services as part of the accountability framework under E-Enterprise (Q4).

Strategic Alignment:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 4:

In collaboration with OEI, NPMs and Regions, ensure alignment of E-Enterprise goals as appropriate for State/Tribe Environmental Information (Exchange Network) grants (Q1), participate in the evaluation and selection of grant applications (Q2), award funding by (Q3), and develop criteria for the next FY STAG solicitation notice (Q4).

Strategic Alignment:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 5:

Develop and utilize alternative approaches to doing business differently in OCFO and across the agency through streamlining business processes to gain efficiencies and reduce burden. Establish joint State/Tribal/EPA processes through the E-Enterprise Leadership Council (EELC) to propose and reach consensus on two new (2) programs/projects for scoping and Business Case/Return on Investment analysis by end of Q3 (i.e. - Delegated Permitting, and Quality Assurance Project Plans). Follow-on work (i.e. - Lean event, pilot alternative approaches will commence on the two selected programs/projects by the end of Q4. Provide leadership in supporting the OCFO Strategic Plan Goal 4 champion (ongoing).

Strategic Alignment:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 6:

Implementation of the Agency Priority Goal (APG for FY2018-2019): Accelerate permitting-related decisions. Strengthen environmental protection through business process improvements related to permitting-related decisions where there are shared inter-governmental (EPA, States, and Tribes (EST)) responsibilities. FY2018 activities will include: development of joint EST measures (Q1), formulation of joint EST project team (Q2), conduct joint EST lean event (Q3), pilot joint EST solution (Q4).

Strategic Alignment:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 7:

Achieve human capital objectives consistent with OCFO Strategic Plan—vision, mission, values, goals, activities, and associated measures. Carry out workforce/succession planning and recruitment plans to support long-term workforce stability. Mentor/coach OEE staff to support their near-term/longer-term training and professional development objectives, and strengthen employee engagement and empowerment (ongoing). Advertise Skills Market Place position for SharePoint support (Q1), Select and fill position (Q2). Integrate Skills MarketPlace Position into E-Enterprise team and monitor progress (Q3-Q4).

Strategic Alignment:

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.	
See Attached	

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

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Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)

Battin, Andrew, T

Performance Period

From: 10/1/17

To: 9/30/18

Long Term
Goal:

Develop skills for future Executive
Leadership opportunities

Short Term
Goal:

Maintain proficiency through core training as required
annually

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

All Year

All Year

All Year

All Year

All Year

Discussion and/or
approval of the
Executive
Development Plan.

Employee

Signature

Date

Supervisor

Signature

Date

11/30/2017

Approving Official

Signature

Date

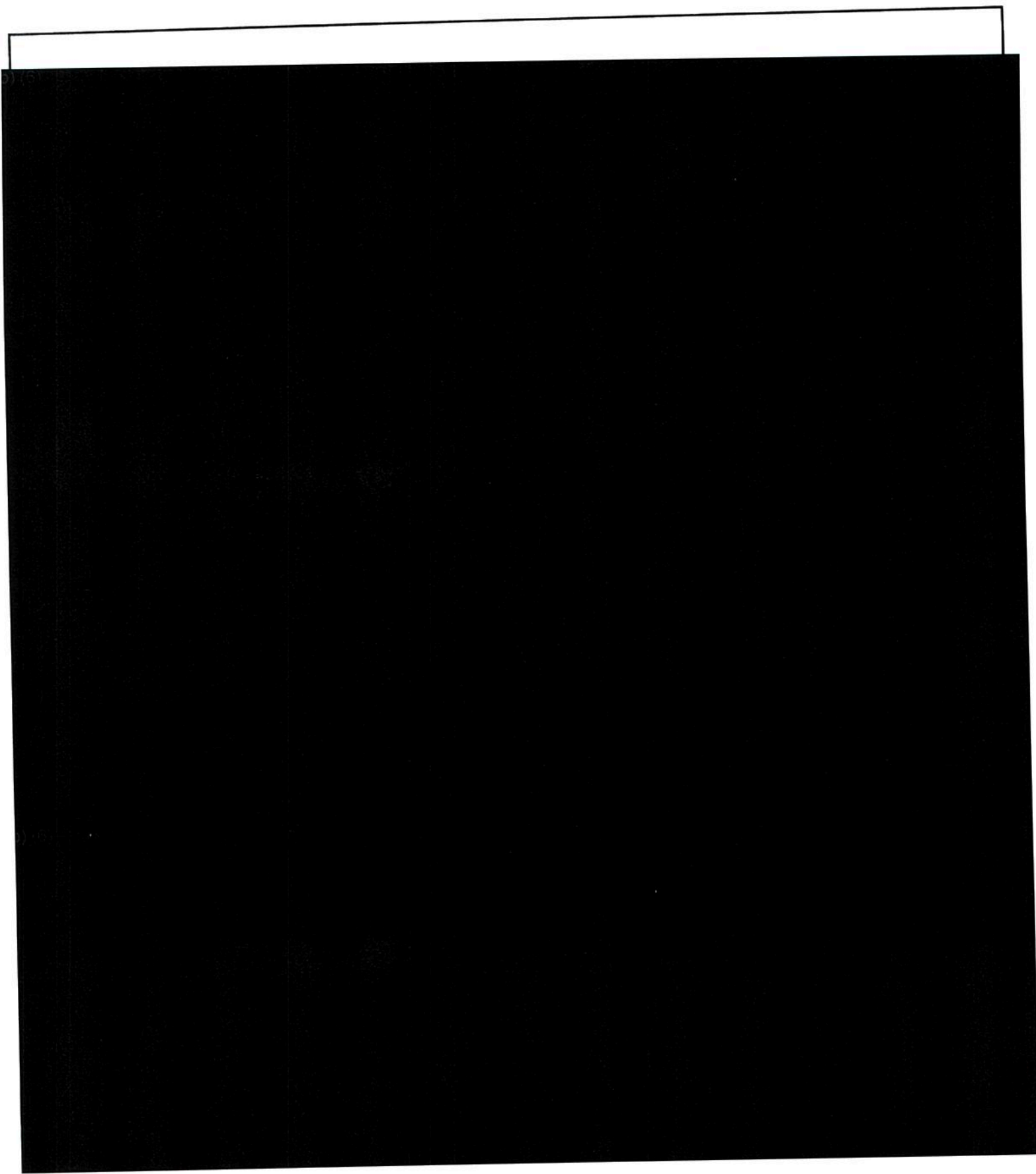
Executive Name and ID:

Rating Period: 10/01/17 – 9/30/18

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

b) (6)





(b) (6)



**SES Performance Management System
Executive Performance Plan**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Terris, Carol L.

Appraisal Pd. 10/1/2017-
9/30/2018

Executive's Signature:

Date: 11/30/2017

Title: Director, Office of Budget

Organization: OCFO

Rating Official's Name (Last, First, MI): Bloom, David A.

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature:

Date: 11/30/2017

Part 2. Progress Review

Executive's Signature:

Date: 5/13/2018

Rating Official's Signature:

Date: 5/13/2018

Reviewing Official's Signature (Optional):

Date:

Part 3. Summary Rating

(b) (6)

Rating Official's Name (Last, First, MI): Bloom David A

Rating Official's Signature:

Date: 11/07/2018

Executive's Signature:

Date: 11/7/2018

Reviewing Official's Signature (Optional):

Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			25			
3. Business Acumen			10			
4. Building Coalitions			10			
5. Results Driven			45			
Total			100%			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change**(Minimum weight 5%)**

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People**(Minimum weight 5%)**

Weight 25%

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

See Attached

(b) (6)

Critical Element Rating – Leading People

Critical Element 3. Business Acumen**(Minimum weight 5%)**

(b) (6)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)* See Attached

(b) (6)

Critical Element Rating – Business Acumen**Critical Element 4. Building Coalitions****(Minimum weight 5%)****Weight 10%**

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

(b) (6)

Critical Element Rating – Building Coalitions

Critical Element 5. Results Driven

(Minimum Weight 20%)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1:

Provide leadership to agency in design and development of budget submissions and enacted operating budget, incorporating strategy and analysis of options in meeting OMB and Administration requirements, including FITARA guidance, performance and enterprise risk management considerations. Design decision-making process to ensure that priorities consistent with senior leadership direction are integrated into budgets. Plan for a formulation process that includes senior leadership meetings. Outcome of effort meets leadership needs for decision support analyses and ensures that documents inform the agency, OMB and Congress on priorities and results associated with agency program. Work also supports OCFO mission measures for deliverables.

- a. Timely OMB submission and Congressional Justification submissions.
- b. Identify issues and options related to the enacted budget and operating plan and develop process to identify/address leadership priorities within timelines.

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Review and update allocations for workforce support needs with emphasis on appropriate OARM and OEI engagement and coordination

Performance Requirement 2:

Prepare for Appropriation budget hearings and coordinate follow up, including responding to Congressional requests, in support of the agency's budget request. Work to sustain and improve relationship through responsiveness and engagement on priorities.

- a. Coordinate with program offices/OCIR to provide information on a timely basis and identify key issues related to EPA's budget.
- b. Brief senior management and Congressional staff.

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Track and coordinate timeliness for reporting requirements and QFR's

Performance Requirement 3:

Review programs to ensure effective performance and resource utilization. Provide leadership to ensure policies and oversight result in sound resource management.

- a. Analyze and develop options to maximize effective utilization of expiring, fees, Special accounts and other funds

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Provide program and workforce utilization analyses to support agency priorities, develop recommendations and maintain effective resource and FTE utilization.

Executive Name and ID: Carol Terris

Appraisal Period: 10/1/2017-9/30/2018

Performance Requirement 4:

Ensure that administrative controls are in place for appropriated funds. Issue timely advice of allowance. Review reprogramming requests, ensure application of appropriation laws, and provide training and guidance documents. Ensure orderly year-end process. Results will ensure agency is following policies and procedures, address enterprise risk considerations.

- a. Review/manage agency spending and utilization; support measures reporting.
- b. Offer Budget Technical Workshop, ensuring cross-OCFO integration, and at least 2 funds control/basic budget training sessions in addition to regular webinars schedule. Tailor to customer needs and survey results

Implement/update A-123 reviews in support of key controls for budget and financial systems and address audit or internal control corrective actions as needed

Performance Requirement 5:

Manage development, training and implementation of BFS modules in alignment with OCFO Systems governance and Data Management approach. Manage New Performance System module development and launch, and support enterprise dashboard development. Prioritize development for budget functionality areas that will allow BAS decommissioning. Continue to work with stakeholders in TUGs to address requirements, testing and implementation. Continue outreach to potential external customers in coordination with OMB's BFELOB group. Results will provide effective implementation/user experience of new modules, cost avoidance as a legacy system is retired, and potential leveraging with other agencies. Effectively coordinate on OCFO Systems implementation and related activities such as Account Code review.

Results inform requirements and development needs for agency financial and mixed financial systems and reporting as well as approach to manage implementation workload

Performance Requirement 6:

Continue implementation of Workload Assessment effort, in collaboration with programs, to broaden acceptance and utilization of process as a management tool.

Internal to the office, across OCFO and with agency stakeholders, continue to target opportunities for business process improvement efforts, streamlining, lessons learned and effective SOP updating and development; track results in support of OCFO mission measures.

Performance Requirement 7:

Address organizational development issues and improve job satisfaction.

- a. Hold office and/or unit retreats and special functions. Hold regular all hands meetings as forum for new suggestions, follow up and cross-staff engagement.
- b. Sustain and enhance office wide strategies for workforce development, and as opportunity arises for external hiring, work to ensure diverse and well qualified candidate pools are available to address skill gaps
- c. Ensure through succession planning and use of SOPs that retiring or departing staff responsibilities are effectively transferred

Provide leadership in serving as the OCFO Strategic Plan goal 4 champion.

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Executive Name and ID: Carol Terris

Appraisal Period: 10/1/2017-9/30/2018

Performance Requirement 8:

Incorporate customer service principles into interaction with agency and external stakeholders, including timely and accurate responsiveness, providing relevant guidance and assistance when needed, and designing processes, communications and tools for clarity and efficiency.

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 9:

Ensure compliance with National Security standards

As applicable, ensure self and others comply with all applicable personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Strategic Alignment:

Supports the Agency's draft Strategic Plan for 2018-2022

Supports all four goals of OCFO Strategic Plan, 2016-2020

Performance Requirement 10:

Strategic Alignment:

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

See Attached

Critical Element Rating – Results Driven

(b) (6)

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

See Attached

Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Critical Element 1. Leading Change

(b) (6)

Critical Element 2. Leading People

(b) (6)

Critical Element 3. Business Acumen

(b) (6)

Critical Element 4. Building Coalitions

(b) (6)

5/16/16

[Redacted]

Critical Element 5. Results Driven

5/16/16

[Redacted]

Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)

Terris, Carol L

Performance Period

From: Oct 1, 2017

To: Sept 30, 2018

Long Term Goal:

To build on success in leadership position in EPA

Short Term Goal:

Increase effectiveness through understanding of major agency and government-wide management trends/focus areas and opportunities for improvement

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

(b) (6)

2017-2018

(b) (6)

2017-2018

2017-2018

2017-2018

Discussion and/or approval of the Executive Development Plan.

Employee

Signature



Date

11/30/2017

Supervisor

Signature



Date

11/30/2017

Approving Official

Signature

Date

Carol Terris

(b) (6)



(b) (6)



**SES Performance Management System
Executive Performance Agreement**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Jones, Quentin X.

Appraisal Pd.: FY 2017

Executive's Signature: *Quentin Jones*

Date: *11/30/17*

Title: Director *Office of Technology Solutions*

Organization: OCFO-OTS

Rating Official's Name (Last, First, MI): Bloom, David A.

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature: *David Bloom*

Date: *11/30/2017*

Part 2. Progress Review

Executive's Signature: *Quentin Jones*

Date:

Rating Official's Signature: *David Bloom*

Date: *5/8/2018*

Reviewing Official's Signature (Optional):

Date:

Part 3. Summary Rating

Initial Summary Rating

(b) (6)

Rating Official's Name (Last, First, MI): Bloom, David A.

Rating Official's Signature: *David Bloom*

Date: *11/29/2018*

Executive's Signature: *Quentin Jones*

Date: *11/29/2018*

Reviewing Official's Signature (Optional):

Date:

Higher Level Review (if applicable)

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

PRB Chair Signature:

Date:

Annual Summary Rating

☐ Level 5 ☐ Level 4 ☐ Level 3 ☐ Level 2 ☐ Level 1

Appointing Authority Signature:

Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5
2. Leading People			25			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			45			Any CE rated Level 1 = Level 1
Total			100%			

(b) (6)

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
 Level 4 = 4 points
 Level 3 = 3 points
 Level 2 = 2 points
 Level 1 = 0 points

Executive Name and ID:

Appraisal Period:

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Leading Change

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Leading People

Executive Name and ID:

Appraisal Period:

(Minimum weight 5%)

(b) (6)

Critical Element 3. Business Acumen

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

(b) (6)

Critical Element Rating – Business Acumen

(Minimum weight 5%)

(b) (6)

Critical Element 4. Building Coalitions

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

(b) (6)

Critical Element Rating – Building Coalitions

Critical Element 5. Results Driven**(Minimum Weight 20%)**

(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

Performance Requirement 1:

Financial & Administrative System Operations and Maintenance. Results: Steady progress in FY 2018 to achieve OCFO Strategic objectives on time and within cost.

- Provide adaptive maintenance support for EPA financial & administrative systems
- Complete Disaster Recovery Testing for OCFO critical systems (July 2018)
- Provide continuous monitoring of OTS supported systems
- Development & begin implementation of comprehensive list and strategy for priority maintenance defects/enhancements (Q2)
- Conduct bi-weekly payroll close-out process

Strategic Alignment: Supports the Administrator's themes, goal 3.5 of the 2015-2018 EPA Strategic Plan and the Cross Agency Strategies. Supports OCFO Strategic Goal 3.

Performance Requirement 2:

OCFO Shared Services. Results: Steady progress in FY 2018 to achieve OCFO Strategic objectives on time and within cost.

- Develop a catalog of OCFO-OTS shared services and offerings Q2
- Complete & maintain implementation of agency-wide Business objects offering – Q1
- Establish and Maintain OCFO shared services sequencing plan-Q1
- Establish OTS Shared Service oversight process – Q2

Strategic Alignment: Supports the Administrator's themes, goal 3.5 of the 2015-2018 EPA Strategic Plan, goal 3 of the OCFO Strategic Plan, and the Cross Agency Strategies.

Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)

See Attached

(b) (6)

Critical Element Rating – Results Driven

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.**Performance Requirement 3:**

Compass Financial Statement support. *Results: Accurate, reliable, and verifiable data in Compass and payment applications to support effective day-to-day operations, current year-end close and next year open, and clean financial statement audit opinion.*

- a. Provide support for Year-end Close; Rollover appropriate Compass tables; review and update FY17 tables, as appropriate, issue memos requesting additions and revisions for org codes and DCNs; Test the preliminary year-end closing processes; test the commitment, obligations, and payment reversal processes; Complete the Compass User Recertification documentation SOP; Compass Security Features Users Guide (SFUG) and on-line procedure policy; Enhance the Compass Access Request form to capture additional information

Strategic Alignment: Supports the Administrator's themes, goal 3.5 of the 2015-2018 EPA Strategic Plan, goal 3 of the OCFO Strategic Plan, and the Cross Agency Strategies.

Performance Requirement 4:

Customer Service and Outreach for OCFO Systems. *Results: Steady progress in FY 2018 to achieve customer service and outreach objectives on time and within cost*

- a. Develop Shared Services Communications strategy to timely show shared services projects and associated status.
- b. Conduct Tug meetings for priority OCFO
- c. Maintain routine stakeholder meetings Q1-Q4
- d. Provide online updates of CR's and projects to stakeholder members
- e. Integrate customer stakeholder approved/disapproved items with the OTS help desk Remedy system to provide customer metrics on submitted requests.

Strategic Alignment: Supports the Administrator's themes, 2015-2018 EPA Strategic Plan, goals 3 and 4 of the OCFO Strategic Plan, and the Cross Agency Strategies.

Performance Requirement 5: Financial & Administrative System data analytics and analysis strategy. *Results: Steady progress in FY 2018 to achieve OCFO Strategic objectives on time and within cost.*

- a. Develop financial data strategy to ensure financial data integrity and influence agency decision making Phase I - Core financial system - Q4
- b. Develop financial data solutions architecture-Q4
- c. Develop and maintain financial data roadmap- Payroll data - Q2
- d. Develop performance dashboard - Q3
- e. Develop enterprise dashboard framework - Q3

Strategic Alignment: Supports the Administrator's themes, goal 3.5 of the 2015-2018 EPA Strategic Plan, goals 1 and 3 of the OCFO Strategic Plan, and the Cross Agency Strategies.

Performance Requirement 6:

Carry out proactive OTS workforce planning, recruitment, and development strategies to strengthen organizational foundation and achieve OCFO Human Capital Plan/diversity goals. *Results: A stronger OTS.*

- a. Fill vacant positions to deepen bench of OTS and achieve HC/diversity goals.
- b. Fill positions toward mission goals/strengthen overall organization.
- c. Achieve human capital objectives by: developing OCFO's organizational vision/goals/strategic direction to reflect organizational changes of the reorg, including aligning performance agreements with organizational vision, goals and strategic direction and associated measures. Developing leadership capacity by mentoring/coaching OTS leadership team; implementing succession/recruitment planning to ensure long-term workforce stability; employee engagement; and promoting professional development and empowerment across OTS

Strategic Alignment: Supports the Administrator's themes, the 2015-2018 EPA Strategic Plan, goal 2 of the OCFO Strategic Plan, and the Cross Agency Strategies.

Performance Requirement 7:

OCFO Systems Governance, CPIC/Business Case Development-Prioritize objectives and sustain funding to support OCFO and Agency IT systems.

Results: Strengthen IT capability and sustained progress in implementing FinRS, PTS &

Strategic Alignment: Supports the Administrator's themes, goal 3.5 of the 2015-2018 EPA Strategic Plan, goal 3 of

Scorpions (Component one).

- a. Provide leadership to strengthen the governance of OCFO Systems along with enhancing customer / stakeholder collaboration and communication.
- b. Ensure OCFO Business Cases (FinRS) are prepared for OEI/OCFO Business Case Review
- c. Lead Stakeholder meetings and Technical User groups
- d. Provide adaptive maintenance support as approved by CCB

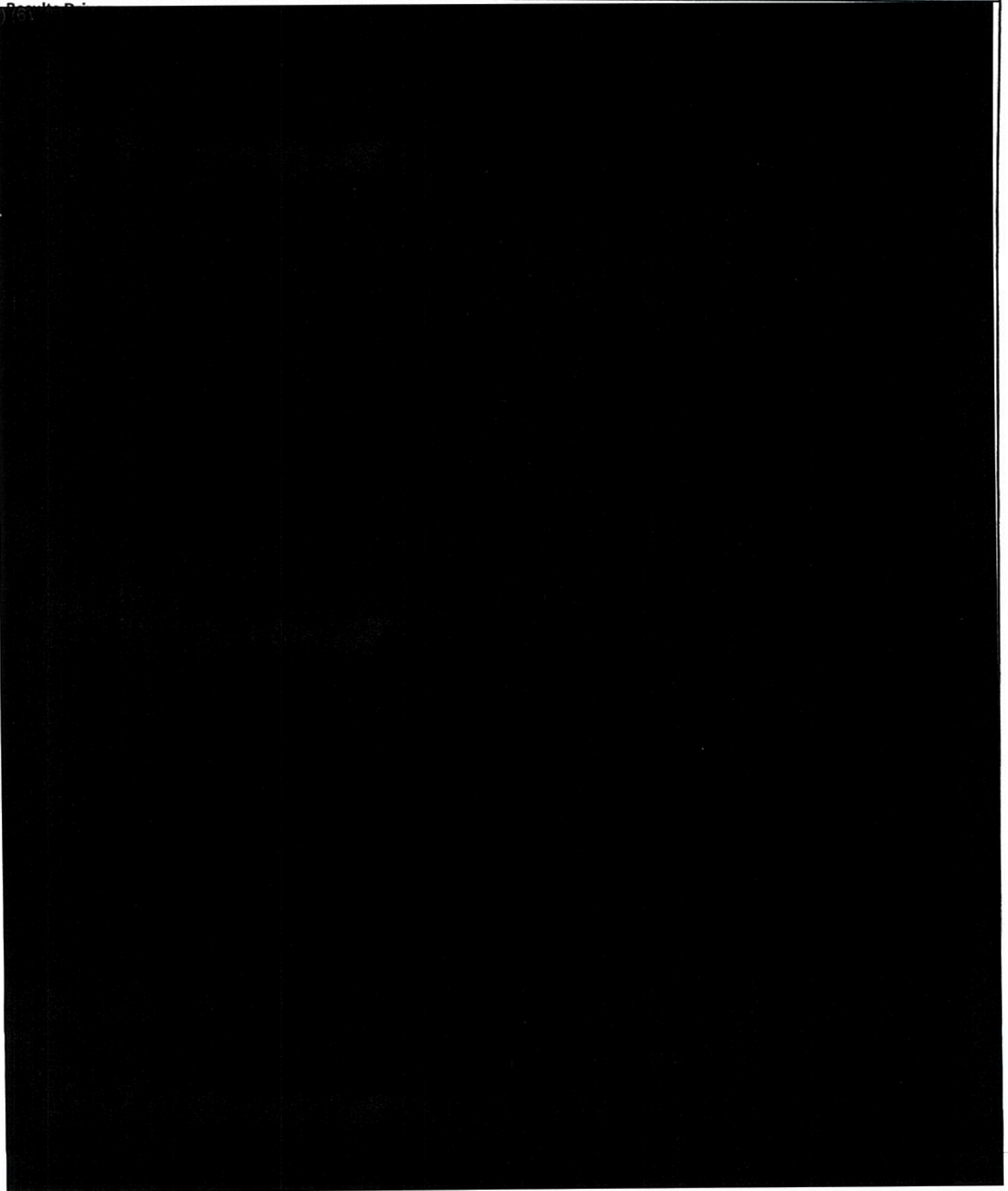
the OCFO Strategic Plan, and the Cross Agency Strategies.

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

See Attached

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

Results Provided



Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)

jonea, Quentin X

Performance Period

From: 10/1/17

To: 9/30/18

Long Term
Goal: 5

Short Term
Goal: 1-2

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

(b) (6)

June 5 -7 2018

October 28th

April 30

Apr 12/13 or Sept 15.

Discussion and/or
approval of the
Executive
Development Plan.

Employee

Signature

Date

Supervisor

Signature

Date

Approving Official

Signature

Date

Quentin Jones

(b) (6)

(b) (6)



Overall Results

(b) (6)

